

PATENT COOPERATION TREATY

PCT/US98/17472

PCT

NOTIFICATION OF ELECTION

(PCT Rule 61.2)

From the INTERNATIONAL BUREAU

To:

United States Patent and Trademark
Office
(Box PCT)
Crystal Plaza 2
Washington, DC 20231
ÉTATS-UNIS D'AMÉRIQUE

in its capacity as elected Office

Date of mailing (day/month/year) 10 May 1999 (10.05.99)	Applicant's or agent's file reference GRENPO01WO
International application No. PCT/US98/17472	Priority date (day/month/year) 22 August 1997 (22.08.97)
International filing date (day/month/year) 21 August 1998 (21.08.98)	
Applicant WHITE, Newton	

1. The designated Office is hereby notified of its election made:

☒ in the demand filed with the International Preliminary Examining Authority on:
16 March 1999 (16.03.99)

☐ in a notice effecting later election filed with the International Bureau on:

2. The election ☒ was
☐ was not

made before the expiration of 19 months from the priority date or, where Rule 32 applies, within the time limit under Rule 32.2(b).

The International Bureau of WIPO
34, chemin des Colombettes
1211 Geneva 20, Switzerland

Authorized officer

Sean Taylor

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In one embodiment of the invention, a method for interacting with an offer matching system comprises a number of operations. For example, a first participant may communicate to the offer matching system a first description of a first offer (1103). A first identifier (1107) is associated with the first offer (1103) and is not associated with any offer other than the first offer (1103). (The first identifier (1107) may have been provided by the first participant or may have been created by the offer matching system, for example). If the first participant did not already know of the first identifier (1107), then the offer matching system communicates it to the first participant. A second participant communicates to the offer matching system a description of a second offer (1201) that is capable of being executed at least in part against the first offer (1103) in accordance with a set of rules that govern the operation of the offer matching system. The first participant then discloses the first identifier (1104) to a first discloser. The first discloser may then present a query to the order matching system, containing among other things information indicative of the first identifier (1104).

FOR THE PURPOSES OF INFORMATION ONLY

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EE	Estonia	LR	Liberia	SG	Singapore		

INTERNATIONAL SEARCH REPORT

International application No.
PCT/US98/17472

A. CLASSIFICATION OF SUBJECT MATTER

IPC(6) : G06F 15/21, 15/30, 17/60, 15/20, 15/24
US CL : 705/37

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

U.S. : 705/37; 35

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)

Aps

search terms: secure, protected, confidential, offer, bid, investment, matching, exchanching, system

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	US 4,980,826 A (WAGNER) 25 DECEMBER 1990, COL. 7, LINES 25-68	1-168
A	US 4,903,201 A (WAGNER) 20 FEBRUARY 1990, COL. 7, LINES 12-62	1-168
A	US 5,794,219 A (BROWN) 11 AUG 1998, COL. 6, LINES 3-64	1-168
A	US 4,412,287 A (BRADDOCK, LLD) 25 OCTOBER 1983, COL. 8, LINES 7-66	1-168
A	US 3,573,747 A (ADAMS ET AL) 06 APRIL 1971, COL. 14, LINES 3-71	1-168
A	US 5,168,446 A (WISEMAN) 01 DECEMBER 1992, COL. 15, LINES 3-65	1-168

☐ Further documents are listed in the continuation of Box C. ☐ See patent family annex.

* Special categories of cited documents:	*T* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
A document defining the general state of the art which is not considered to be of particular relevance	*X* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
E earlier document published on or after the international filing date	*Y* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art
L document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)	*Z* document member of the same patent family
O document referring to an oral disclosure, use, exhibition or other means	
P document published prior to the international filing date but later than the priority date claimed	

Date of the actual completion of the international search

30 OCTOBER 1998

Date of mailing of the international search report

17 DEC 1998

Name and mailing address of the ISA/US
Commissioner of Patents and Trademarks
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Washington, D.C. 20231

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TODD VOELTZ

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PATENT COOPERATION TREATY

PCT

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

REC'D 20 JUL 1999

WIPO PCT

Applicant's or agent's file reference GRENPO01W0	FOR FURTHER ACTION See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)	
International application No. PCT/US98/17472	International filing date (day/month/year) 21 AUGUST 1998	Priority date (day/month/year) 22 AUGUST 1997
International Patent Classification (IPC) or national classification and IPC IPC(6): G06F 15/21, 15/30, 17/60, 15/20, 15/24 and US Cl.: 705/37		
Applicant GRENEX CORPORATION		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.

2. This REPORT consists of a total of 4 sheets.

☐ This report is also accompanied by ANNEXES, i.e., sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority. (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).

These annexes consist of a total of 0 sheets.

3. This report contains indications relating to the following items:

- I ☒ Basis of the report
- II ☐ Priority
- III ☐ Non-establishment of report with regard to novelty, inventive step or industrial applicability
- IV ☐ Lack of unity of invention
- V ☒ Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- VI ☐ Certain documents cited
- VII ☐ Certain defects in the international application
- VIII ☐ Certain observations on the international application

Date of submission of the demand 16 MARCH 1999	Date of completion of this report 06 APRIL 1999
Name and mailing address of the IPEA/US Commissioner of Patents and Trademarks Box PCT Washington, D.C. 20231	Authorized officer For <u>Emmanuel Todd Voeltz</u> EMANUEL TODD VOELTZ
Facsimile No. (703) 305-3230	Telephone No. (703) 305-2200

I. Basis of the report

1. This report has been drawn on the basis of *(Substitute sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to the report since they do not contain amendments):*

☒ the international application as originally filed.

☒ the description, pages 1-38 , as originally filed.

pages NONE , filed with the demand.

pages NONE , filed with the letter of _____.

pages _____ , filed with the letter of _____.

☒ the claims, Nos. 1- 168 , as originally filed.

Nos. NONE , as amended under Article 19.

Nos. NONE , filed with the demand.

Nos. NONE , filed with the letter of _____.

Nos. _____ , filed with the letter of _____.

☒ the drawings, sheets/fig 1-10 , as originally filed.

sheets/fig NONE , filed with the demand.

sheets/fig NONE , filed with the letter of _____.

sheets/fig _____ , filed with the letter of _____.

2. The amendments have resulted in the cancellation of:

☒ the description, pages NONE .

☒ the claims, Nos. NONE .

☒ the drawings, sheets/fig NONE .

3. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the ~~Supplemental Box~~ Additional observations below (Rule 70.2(c)).

4. Additional observations, if necessary:

NONE

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.

PCT/US98/17472

V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**1. STATEMENT**

Novelty (N)	Claims <u>1-168</u>	YES
	Claims <u>NONE</u>	NO
Inventive Step (IS)	Claims <u>1-168</u>	YES
	Claims <u>NONE</u>	NO
Industrial Applicability (IA)	Claims <u>1-168</u>	YES
	Claims <u>NONE</u>	NO

2. CITATIONS AND EXPLANATIONS

Claims 1-168 meet the criteria set out in PCT Article 33(2)-(4), because the prior art does not teach or fairly suggest communicating from a first participant to the offer matching system a first description of a first offer; associating the first offer with a first identifier, the first identifier not associated with any offer other than the first offer; if the first description does not disclose the first identifier, then communicating the first identifier from the offer matching system to the first participant in a manner that discloses to the first identifier is associated with the first offer; communicating from a second participant to the offer matching system a description of a second offer; the offer matching system's executing the first offer at least in part against the second offer in accordance with a set of rules that govern the operation of the offer matching system; if a first disclosee, the first disclosee not being the same as the first participant, does not already possess information which discloses that the first identifier is associated with the first offer and that a first related person satisfies a first condition selected from the group consisting of: the first offer is for the benefit of the first related person, the first offer is for the account of the first related person, the first related person made an investment decision to make the first offer, the first related person has a financial interest in the first offer, the first related person is financially responsible for the first offer, the first related person is acting as an agent with respect to the first offer, and the first related person is acting as a principal with respect to the first offer, then the first participant possesses information which discloses that the first identifier is associated with the first offer, communicating the first identifier from the first participant to the first disclosee in a manner which discloses to the first disclosee that the first related person satisfies the first condition; after the first disclosee possesses information which discloses that the first identifier is associated with the first offer and that the first related person satisfies the first condition, communicating from the first disclosee to the offer matching system a first request for information, wherein the first request includes the first identifier; avoiding public (Continued on Supplemental Sheet.)

Supplemental Box

(To be used when the space in any of the preceding boxes is not sufficient)

Continuation of: Boxes I - VIII

Sheet 10

V. 2. REASONED STATEMENTS - CITATIONS AND EXPLANATIONS (Continued):

disclosure that the first related satisfies the first condition; and in response to the first request, and without the offer matching system's determining that the first request was made by a person entitled to receive confidential information concerning the first offer, communicating from the offer matching system to the first disclosee a first data item, wherein the first data item concerns the first offer, and before receiving the first data item, the first disclosee does not possess information which discloses that the first data item concerns the first offer, and whereby the first disclosee, which already possesses information which discloses that the first discloses that the first related person satisfies the first condition, gains possession of information which discloses that the first data item concerns the first offer.

----- NEW CITATIONS -----

NONE